

US EPA Peer Review Checklist

Date: _____

WORK PRODUCT TITLE: _____

Abstract: _____

AA or Region: _____

Decision Maker¹ (Name and Title): _____Peer Review Coordinator² (Name and Title): _____Peer Review Leader³ (Name): _____

Decision/Rule/Regulation/Action the Work Product Supports: _____

Designation of Work Product (see page 2 for explanation and rationale):

_____ Influential Scientific Information (ISI)

_____ Highly Influential Scientific Assessment (HISA)

_____ Other Scientific or Technical Work Product

_____ High-profile products that are not HISA or ISI

_____ Journal articles that are not high-profile documents

Date Peer Review Record Created: _____

Date Peer Review Record Completed: _____

Date Peer Review Reported in Science Inventory: _____

Science Inventory Record #: _____

¹ Line Manager whose organization is responsible for the product.² Individual responsible for coordinating and monitoring peer review activities for his/her organization.³ Individual responsible for organizing, conducting, and completing peer review for an individual work product.

Yes/No	Item	Reason(s) for Designation/Comments	Peer Review Handbook Section
Designate the Work Product Category* – Decision Maker and Peer Review Coordinator			
	Is the Work Product Scientific or Technical (includes economic and social science work products)?		2.2.1
If scientific or technical, which designation does the work product best fit:			
	Influential Scientific Information (ISI) meets <u>one or more</u> of the following: <ul style="list-style-type: none"> - Establishes significant precedent, model, or methodology - Annual effect on the economy of \$100 million or more - Addresses significant controversial issues - Focuses on significant emerging issues - Has significant cross-Agency/ interagency implications - Involves a significant investment of Agency resources - Considers an innovative approach for a previously defined problem/process/ methodology - Satisfies a statutory or other legal mandate for peer review EXAMPLES: See Below		2.2.3
	Highly Influential Scientific Assessment (HISA), in addition to meeting the criteria for ISI: <ul style="list-style-type: none"> - Potential impact of more than \$500 million in any year - Is novel, controversial, or precedent-setting or has significant interagency interest EXAMPLES: See Below		2.2.4
	Other (includes journal articles), define in comments		2.2.5 – 2.2.18
If work product is designated as ISI or HISA, peer review is required. For work products not designated as influential, peer review can still be conducted if the Decision Maker determines it is worthwhile.			
If the work product is exempted from peer review, state the reason(s) why:			

Approvals for peer review category designation of work product.

Decision Maker: _____ Date _____

Peer Review Coordinator: _____ Date _____

* Designation of a work product's category could change during the course of development. Any changes in designation should be documented.

If the document is classified as others but still peer-reviewed, please provide a list of Selected Peer Reviewers (Name/Organization/Expertise/Internal or External Reviewer)

Name	Title	Organization	Internal or External	Expertise	e-mail Address	Phone Number

Examples of Peer-Reviewed Agency Work Products Designated as ISI

OW – *Heat Island Reduction Strategies Guidebook* (2005)

OW – *Economic Analysis for the Ground Water Rule (GWR)* (2007)

OSWER – *Alternative Approach to Estimating Cancer Potency for Asbestos* (2009)

ORD – *IRIS Toxicological Review and Summary Documents for 1,4-Dioxane* (2011)

ORD – *Coral Reef Biological Criteria: Using the Clean Water Act to Protect a National Treasure* (2012)

Examples of Peer-Reviewed Agency Work Products Designated as HISA

OSWER – *Peer Review Supporting the Standards for the Management of Coal Combustion Wastes Part 1 and 2* (2008)

ORD – *Preliminary Review of Adaption Options for Climate-Sensitive Ecosystems and Resources (SAP 4.4)* (2011)

OW – *Review of Draft Revised Blue Book on Estimating Cancer Risks from Exposure to Ionizing Radiation* (2012)

OAR – *Policy Assessment for the Carbon Monoxide NAAQS Review* (2012)

ORD – *IRIS Toxicological Review of Formaldehyde (Inhalation)* (2012)

The *U.S. Environmental Protection Agency Peer Review Handbook, 3rd Edition*

(<http://www.epa.gov/peerreview/>) provides further explanation on defining work products as ISI, HISA, or other. For more examples of Agency work products designated as ISI or HISA, please consult the Peer Review Agenda at http://cfpub.epa.gov/si/si_public_pr_agenda.cfm.

COMPLETE NEXT PAGES IF THE WORK PRODUCT IS CLASSIFIED
INFLUENTIAL SCIENTIFIC INFORMATION (ISI) OR HIGHLY
INFLUENTIAL SCIENTIFIC ASSESSMENT (HISA)

Completed	Item	Comments	Peer Review Handbook Section
Determine Resources for Peer Review – Decision Maker and Peer Review Coordinator			
	Define priority of the work product relative to others in the same office		2.2
	Assure budget resources are available to conduct peer review		2.6
	Assign Peer Review Leader		1.5.5
	Establish Peer Review Record and the Science Inventory database entry		1.4, 2.5
	- Determine who will maintain peer review record		2.5.1
	- Determine where peer review record will be maintained		2.5.8
Date Peer Review Record Established:			
Select the Peer Review Mechanism and Determine the Specific Timeline – Peer Review Coordinator and Peer Review Leader			
	Peer reviewer source: Internal , External, or Both		1.5.6, 1.5.9, 2.4, 3.4.3
	Number of peer reviewers: Individuals or Panel		1.5.10, 2.4.1, 3.4.4
	Meeting type: Correspondence or Face-to-Face		2.4.1
	Meeting schedule: One Time or Multiple		2.4.6
	Date the review will begin		2.4.6, 2.4.7
	Intermediate check points (define)		2.4.6
	Deadline for completion (Consider court ordered deadlines or other constraints)		2.4.7
Date Information Added to Peer Review Record:			
Develop the Charge – Peer Review Coordinator and Peer Review Leader			
	Define key issues to be addressed and develop charge questions		3.2, Appx D
	Define what constitutes success for this review		4.2.2, 4.2.3
Date Information Added to Peer Review Record:			
Select Peer Reviewers – Peer Review Leader			
	Determine expertise needed		3.4.1
	Determine source of peer reviewers		3.4.2, 3.4.3
	If ISI/HISA, consider asking public to nominate peer reviewers		3.4.2
	Consider and address balance of the panel		3.4.4

	Consider conflicts of interest and impartiality, and obtain signed conflict of interest statement(s) prior to review (attach copies)		3.4.5, 2009 Addendum
Final List of Selected Peer Reviewers (Name/Organization/Expertise/Internal or External Reviewer)			
1.			
2.			
3.			
4.			
5.			
6.			
7.			
8.			
9.			
10.			
If more than 10 reviewers, please attach page with additional names and information.			
Date Information Added to Peer Review Record:			
Peer Review Materials – Peer Review Leader			
	Obtain materials from program for review		3.5.2
	Prepare instructions for peer reviewers		3.5.1
	Forward materials to peer reviewers, including: - Draft work product - Charge		3.5.2
Date Information Added to Peer Review Record:			
Conduct the Peer Review – Peer Review Leader			
	Ask peer reviewers to submit written comments in response to the charge; if ISI/HISA, ask peer reviewers to prepare peer review report		1.5.5, 2.5.3, 2.5.4
	If HISA, consider seeking public comment on work product		1.4, 2.4.7, 3.3.1, 3.5.2
	If HISA and seeking public comment, provide significant public comments to peer reviewers		3.5.2
Date Information Added to Peer Review Record:			
Evaluate the Comments from Peer Reviewers – Peer Review Leader			
	Consider and respond to comments - Comments not used - document why not - Comments used - revise work product by incorporating comments		4.2.1

	Send revised work products back to peer reviewers, if necessary		2.7.1
	Obtain clarification if needed		4.2.1
	Prepare Agency response		4.2.1
	For HISA, post Agency response to peer review report and expertise of peer reviewers in the Science inventory		1.5.5, 2.5.4, 4.2.1
Date Information Added to Peer Review Record:			
Brief Decision Maker – Decision Maker, Peer Review Coordinator, and Peer Review Leader			
	Obtain written management approval of response to comments		1.5.3, 4.2.1
Date Information Added to Peer Review Record:			
Finalize Work Product – Decision Maker, Peer Review Coordinator, and Peer Review Leader			
	Assure peer review record is complete and maintained for at least one year		4.3
	Post peer review report and related materials in the Science Inventory including: <ul style="list-style-type: none"> - Charge - Final Work Product - Peer Review Comments - Agency Response to Comments 		1.4, 2.5.4, 4.1, 4.3
	For ISI/HISA that support rulemaking, include peer review discussion and certification in preamble to the rule		1.2, 2.5.5, 4.2.3, Appx C
Date Peer Review Record Finalized:			
Confirmation peer review of work product was correctly completed, the record was added to the Science Inventory and the on-site record will be maintained for at least one year.			
Decision Maker: _____ Date _____			
Peer Review Coordinator: _____ Date _____			
Peer Review Leader: _____ Date _____			